The Optimizing Level —
Maturity Level 5

Process Areas at the Optimizing Level focus on continually improving the organization's capability and workforce practices. Individuals continually improve the personal work processes they use in performing competency-based processes. Workgroups continuously improve their operating processes through improved integration of the personal work processes of their members. The organization evaluates and improves the alignment of performance among its individuals, workgroups, and units both with each other and with the organization's business objectives. The organization continually evaluates opportunities for improving its workforce practices through incremental adjustments or by adopting innovative workforce practices and technologies. The process areas at Maturity Level 5 include:

Process areas

Continuous Capability Improvement

A process area at Maturity Level 5: Optimizing

Purpose	**The purpose of Continuous Capability Improvement is to provide a foundation for individuals and workgroups to continuously improve their capability for performing competency-based processes.**
Description	Continuous Capability Improvement involves enterprise-wide support for individuals and workgroups as they focus on improving their capability in the performance of competency-based processes. The organization establishes a voluntary framework for continuously improving personal work processes and workgroup operating processes. Within each competency community, actions are taken to continually improve the capability and performance of competency-based processes.
	Individuals focus on the capability of their personal methods for performing competency-based processes. Individuals analyze the capability of their personal work processes, identify opportunities for improvement, and establish measurable improvement objectives. Individuals engage in learning activities to continuously improve the capability and performance of their personal work processes.
	Workgroups focus on improving the capability and performance of their operating processes by continuously improving the integration of the personal work processes performed by workgroup members. Workgroups analyze the capability of their operating processes to identify opportunities for improvement. Workgroups set measurable objectives for improvement and continuously improve their capability and performance. The organization adjusts the application of workforce practices to support continuous competency improvement.

Within competency communities, recommendations from improvements in personal work processes or workgroup operating processes are reviewed to determine if they should be incorporated into defined competency-based processes. Capability objectives are established for competency-based processes based on the organization's business objectives. Improvement objectives are established for competency-based processes whose capability is insufficient to achieve these capability objectives. Within some competency communities, responsible individuals identify opportunities for improving competency-based processes and evaluate potential improvements. Improvements that demonstrate their value are incorporated into competency-based processes and made available for use. The organization's workforce practices are adjusted to support continual improvement at all levels of the organization.

Goals

Goal 1   **The organization establishes and maintains mechanisms for supporting continuous improvement of its competency-based processes.**

Goal 2   **Individuals continuously improve the capability of their personal work processes.**

Goal 3   **Workgroups continuously improve the capability of their workgroup's operating processes.**

Goal 4   **The capabilities of competency-based processes are continuously improved.**

Goal 5   **Continuous Capability Improvement practices are institutionalized to ensure they are performed as defined organizational processes.**

Commitment to Perform

Commitment 1   **The organization establishes and maintains a documented policy for continuously improving individual and workgroup capability.**

Issues typically addressed in the policy include:

1. Continuous Capability Improvement activities serve the business objectives and stated values of the organization.

2. Individuals and workgroups are encouraged to continuously improve their capability.

3. Individuals and workgroups set measurable objectives for improving their capability.

4. Support is provided for assisting individuals and workgroups in continuously improving their capability.

5. All individuals and workgroups are able to voluntarily participate in continuously improving their capability.

6. The organization proactively investigates improvements to competency-based processes and deploys those that prove most promising.

7. Continuous Capability Improvement practices and activities comply with relevant laws, regulations, and organizational policies.

Commitment 2 **An organizational role(s) is assigned responsibility for coordinating Continuous Capability Improvement activities across the organization.**

> Examples of individuals who might coordinate Continuous Capability Improvement activities across the organization include the following:
>
> - Operational managers and executives
> - Knowledge officers or managers
> - Quality, efficiency, or performance experts
> - Human resources or other appropriate professionals
> - Training or development groups
> - Competency ownership groups
> - Measurement or process improvement groups

Ability to Perform

Ability 1 **Within each unit, an individual(s) is assigned responsibility and authority for ensuring that members of the unit participate in Continuous Capability Improvement activities, as appropriate.**

Ability 2   **Within selected workforce competencies, responsible individual(s) coordinate activities to improve its competency-based processes.**

> Refer to Ability 1 in the Competency Analysis process area and Ability 2 in the Competency-Based Assets process area for information regarding those who are involved in maintaining and improving competency-based processes and competency-based assets.
>
> Examples of individuals who might coordinate Continuous Capability Improvement activities within a workforce competency include the following:
>
> - Competency ownership group, or an organizational competency definition or competency management group, for the workforce competency
> - Knowledge officers or managers
> - Human resources or other appropriate professionals
> - Training or development groups
> - Committee of representatives from ownership teams for each workforce competency
> - Measurement or process improvement groups

Ability 3   **Adequate resources are provided for continuously improving individual and workgroup capabilities.**

1. Experienced individuals who have expertise in capability improvement are available for coaching individuals and workgroups.

    > Examples of individuals with appropriate expertise include the following:
    >
    > - Subject matter experts
    > - Process improvement professionals
    > - Measurement experts
    > - Mentors
    > - Coaches

2. Resources for supporting Continuous Capability Improvement activities are made available.

> Examples of resources to support Continuous Capability Improvement activities include the following:
>
> - Data collection tools
> - Statistical analysis packages
> - Tools to support representation and analyses of workflow and processes
> - Databases and other repositories
> - Intranet and other means of electronic access
> - Knowledge management tools
> - Reporting and communication tools

3. The organization's strategic workforce plan allocates a recommended amount of time for individuals to participate in continuous capability improvement activities.

4. Each unit's workforce planning allocates a portion of each individual's time for participation in continuous capability improvement activities.

Ability 4   **Mentoring support is offered to improve the capability and performance of individuals and workgroups.**

> In the context of Continuous Capability Improvement, mentoring is providing primarily in the form of detailed coaching in the knowledge, skills, and process abilities involved in the personal and workgroup processes undergoing improvement. Although some authors distinguish between mentoring and coaching, the People CMM treats coaching as a special form of mentoring that focuses on detailed expertise in the knowledge, skills, or process abilities of one or more workforce competencies. The use of mentors in Continuous Capability Improvement implies using an experienced individual(s) with expert capability in the competency-based processes on which these personal and workgroup processes are based. Refer to the Mentoring process area for information regarding selecting and preparing mentors and for information regarding establishing and maintaining a mentoring relationship.

1. Improvement opportunities are evaluated to determine whether they justify the investment in mentoring.

    > Mentors providing detailed coaching are made available in situations where performance improvements are expected to contribute most strongly to achieving unit or organizational performance objectives. Examples of factors to be considered in evaluating the benefits of providing a mentor include the following:
    >
    > - The impact of the processes being coached on meeting unit or organizational performance objectives
    > - The marginal improvement in work performance to be achieved through coaching
    > - The number of individuals and workgroups affected
    > - The rate at which capability can be increased
    > - The opportunity to transfer unique knowledge, skill, or process abilities
    > - The ability to increase unit and organizational capability or performance

2. Opportunities to provide detailed coaching are prioritized based on factors such as the following:

    ❏ value to unit or organizational performance objectives,

    ❏ the number of people available qualified to provide detailed coaching,

    ❏ the balance between performing work and coaching, and

    ❏ the value of raising staff capability in targeted areas.

3. Mentoring relationships are established in those situations where the enhancement in performance will justify the investment in coaching support.

    > Refer to Practices 4, 5, 6, and 7 of the Mentoring process area for information regarding selecting and assigning mentors and establishing and maintaining a mentoring relationship.

Ability 5   **Individuals and workgroups develop the knowledge, skills, and process abilities needed to perform their responsibilities in applying techniques for continuously improving their capabilities.**

> Examples of learning opportunities to support Continuous Capability Improvement include the following:
>
> - Measurement and analysis of personal work processes and performance
> - Measurement and analysis of workgroup processes and performance
> - Process engineering techniques
> - Advanced knowledge, skills, or process abilities underlying relevant competencies
> - Statistical analysis
> - Change management

Ability 6   **The practices and procedures for performing Continuous Competency Improvement are defined and documented.**

1. Practices and procedures are defined and documented at the organizational or unit levels, as appropriate.

2. Guidelines for tailoring the practices and procedures for use in different circumstances are documented and made available, as necessary.

3. The individual(s) assigned responsibility for coordinating Continuous Competency Improvement activities across the organization ensures that defined practices and procedures are:

   ❏ maintained under version control,

   ❏ disseminated through appropriate media,

   ❏ interpreted appropriately for different situations, and

   ❏ updated through orderly methods.

4. Experiences, lessons learned, measurement results, and improvement information derived from planning and performing Continuous Capability Improvement practices are captured to support the future use and improvement of the organization's practices.

Practices Performed

Practice 1   **Individuals and workgroups are empowered to continuously improve their capability for performing competency-based processes.**

1. Support for continuous capability improvement is communicated throughout the organization.

2. Practices and activities for supporting continuous capability improvement are included in the organization's strategic workforce plan.

3. Units include support for continuous capability improvement in planning their workforce activities.

4. Participation in continuous capability improvement is voluntary.

5. Where appropriate, activities for continuous capability improvement are supported in the personal development plans of those participating in improvement activities.

Practice 2   **Individuals characterize the capability and performance of their personal work processes.**

1. Competency-based processes provide a framework for describing personal work processes.

> Competency-based processes are typically defined at a level of abstraction higher than the elementary tasks performed by individuals when participating in these processes. In many cases, competency-based processes are defined only to the level of the interactions among people required to accomplish a business activity. Individuals may differ substantially in how they perform the elementary tasks that constitute a component of a competency-based process. For instance, salespeople may use different techniques in closing a sale or designers may perform their activities in different orders based on their preferred design philosophy, experience, or area of greatest knowledge.

> *Personal work processes* refer to how single individuals perform the elementary tasks constituting the competency-based processes involved in their work.
>
> The purpose of this practice is for individuals to characterize these personal work processes at a more detailed level than provided in the definitions of the competency-based processes included in the organization's set of standard processes. Refer to the Competency Analysis, Workgroup Development, and Competency Integration process areas for information regarding defining competency-based and workgroup processes.

2. Individuals analyze their work activities and describe how they uniquely perform the competency-based processes involved.

> Examples of process descriptions include the following:
>
> - Textual listings of work activities
> - Flowcharts or other graphical depictions of work activities
> - Procedural descriptions of work activities
> - Highlighted points of contribution in processes at the workgroup, unit, or organizational levels

3. Measures defined during Quantitative Performance Management activities provide a framework for measuring the capability and performance of personal work processes.

> Refer to the Quantitative Performance Management process area for information regarding defining measures of performance at the unit and workgroup level. If the measures used in quantitatively managing performance have been defined at the workgroup level, then measures characterizing the capability of personal work processes will have to be defined. However, if performance is being quantitatively managed at the individual level, these measures may be sufficient if they provide the insight required to continuously improve the capability of personal work processes.

4. Individuals define measures that can be used in analyzing their personal work processes.

> To the extent that individuals can tailor standard measures of competency-based processes, they can benefit from the comparison of existing capability baselines and results. However, the primary purpose of the measures established in this practice is to gain insight into personal performance and guide personal improvement actions. The most important attribute of these measures is their accuracy in characterizing individual capability in performing competency-based processes. Examples of issues to consider in defining measures of personal work processes may include the following:
>
> - Relationship to individual, workgroup, or unit performance objectives
> - Relationship to measures of competency-based, integrated competency-based, or workgroup processes
> - Ability to characterize individual contribution to the workgroup or unit
> - Accuracy of characterizing unique aspects of assigned responsibilities
> - Relationship to personal development or improvement objectives
> - Likelihood of providing insight into personal styles, habits, or sources of mistakes
> - Difficulty of collection or interpretation

Practice 3   **Individuals evaluate the capability of their personal work processes to identify opportunities for improvement.**

1. The strategies and methods employed in Quantitative Performance Management activities provide a framework for evaluating the capability of personal work processes.

> If the unit of analysis for Quantitative Performance Management activities is the workgroup, then additional quantitative analysis methods will have to be defined for analyzing the capability of personal work processes. However, if quantitative performance management has been implemented at the individual level, then these measures and analyses may be sufficient if they provide the insight needed to support continuous capability improvement.

2. Individuals collect and retain measures characterizing the capability and performance of their personal work processes.

> The capability of a personal work process is the range of outcomes that occur when an individual performs it repeatedly. Examples of capability measures may include the following:
>
> - Time to perform the process
> - Mistakes made in performing the process
> - Effectiveness of coordination with processes performed by others
> - Number of work products produced per unit of time
> - Quality of work products produced by the process

3. Individuals continuously refine measures of their personal work processes to improve their analyses and insight.

4. Individuals determine the capability of their personal work processes.

> Typically, capability is described quantitatively, most often using statistics. Example statistical representations for the capability of a work process include the following:
>
> - Descriptive statistics of central tendency and dispersion
> - Frequency distributions or probability density functions
> - Statistical process control charts
> - Curve-fitting techniques

5. Individuals identify the root causes of inefficiency or defects in their personal work processes.

6. The capabilities of personal work processes are analyzed to determine their potential for improvement.

7. Individuals maintain records of their capability and performance.

Practice 4   **Individuals establish measurable improvement objectives and plans for improving the capability of their personal work processes.**

1. Personal work processes are prioritized according to the potential they present for improving work performance.

2. Individuals set measurable improvement objectives for the personal work processes most likely to improve the performance of their committed work.

3. Individuals identify the knowledge, skills, or process abilities that need to be improved to accomplish their improvement objectives.

4. Individuals plan the improvement actions that will be taken to improve the capability and performance of their personal work processes.

> Examples of issues to be resolved in planning to achieve measurable improvement objectives include the following:
>
> - What knowledge needs to be acquired
> - Which skills need to be improved
> - What process abilities need to be developed
> - Which competency-based assets can be used to improve capability
> - How these knowledge, skills, process abilities, or competency-based assets relate to the performance of their personal work processes
> - The order in which different skills or process abilities will be addressed
> - How improvement will be measured
> - How much capability needs to be developed and at what rate
>
> Planned improvement activities would normally be recorded in the individual's personal development plan. Refer to the Career Development process area for information regarding the development and use of personal development plans.

5. Individuals review their improvement objectives and plans with their workgroup, mentor, career counselor, manager, or other appropriate individuals.

Practice 5   **Individuals continuously improve the capability and performance of their personal work processes.**

1. Individuals engage in timely learning activities to improve the capability and performance of their personal work processes.

> The learning activities employed to continuously improve individual capability extend beyond the typical competency development activities referred to in the Competency Development process area at the Defined Level. The learning activities that are appropriate for capability development are focused much more closely on understanding and improving an individual's personal work processes. Examples of learning activities that would support continuous capability improvement for individuals include the following:
>
> - Six Sigma-type activities performed on personal work processes
> - Personal Software Process® [Humphrey 95, Humphrey 97]
> - Working with a personal mentor or coach on improved methods for performing personal work processes

2. When appropriate, individuals use mentors to guide improvements in their capability and performance. Mentors or coaches assist individuals in:

    ❏ defining their work processes and performance measures,

    ❏ evaluating the capability of their personal work processes,

    ❏ identifying sources of inefficiency or defects in their personal work processes,

    ❏ providing detailed guidance and advice for improving their personal work processes,

    ❏ evaluating the effectiveness of their improvement activities,

    ❏ making continued improvements, and

    ❏ taking corrective actions when improvement activities do not have their intended effect.

    > Refer to the Mentoring process area for information regarding preparing for, and establishing, a mentoring or coaching relationship.

3. Individuals eliminate the sources of inefficiency or defects from their personal work processes.

4. When appropriate, individuals use competency-based assets to improve the capability of their personal work processes.

    > Refer to the Competency-Based Assets process area for information regarding using the organization's competency-based assets.

5. When appropriate, individuals practice the skills and process abilities that will improve the capability and performance of their personal work processes.

6. Individuals apply their improved personal work processes to their committed work and measure the results.

7. Individuals continuously evaluate the performance of their personal work processes to assess improvements in capability and progress against improvement goals and plans.

8. When improvement progress deviates significantly from goals and plans, individuals take corrective actions as appropriate.

> Examples of actions to address deviations from expected improvement progress include the following:
>
> - Evaluating the effectiveness of the improvement activities
> - Evaluating whether sufficient time has been committed to improvement activities
> - Identifying and engaging in alternate improvement activities that may be more appropriate
> - Pursuing expert advice or coaching
> - Revising improvement goals or plans

9. When individuals achieve their improvement goals, they:

   ❏ capture lessons learned from the improvement activities,

   ❏ propose improvements to competency-based processes or their integration across workforce competencies, if appropriate,

   ❏ contribute material for inclusion in competency-based assets, if appropriate, and

   ❏ establish new improvement goals and plans.

   > The repeated performance of Practices 4 and 5 form a continuous improvement cycle.

10. Individuals use the capability of their personal work processes as the basis for estimating and planning their committed work.

11. Individuals continuously improve their ability to estimate and plan their personal work processes by evaluating their estimates against improved capability and performance results.

Practice 6   **Workgroups evaluate the capability and performance of their operating processes to identify opportunities for improvement.**

1. The personal work processes through which individuals perform competency-based processes provide a framework for improving the workgroup's capability for performing competency-based processes.

> Workgroups typically tailor competency-based processes for use in their work settings. A *workgroup's operating process* refers to all the tailored versions of competency-based processes, integrated competency-based processes, and common workgroup methods and procedures. Since individuals have their own personal work processes by which they perform these competency-based processes, each workgroup will find differences in how these personal work processes are most effectively integrated. Workgroup performance will be enhanced to the extent the workgroup can capitalize on individual strengths, compensate for individual weaknesses, and blend individual styles and characteristics into a smooth workgroup process. For workgroups that are relatively long-lived, continuous improvement of its capability for performing these processes may substantially benefit unit and organizational performance objectives. The workgroup-related practices in this process area build on the practices established in the Quantitative Performance Management process area.

2. Workgroups analyze how their members perform and integrate their personal work processes.

> This practice builds on the analysis of personal work processes accomplished in Practice 2 of this process area. The workgroup analyzes how integrate the personal work processes of its members to form a workgroup process.

3. Measures defined during Quantitative Performance Management activities provide a framework for measuring the capability and performance of a workgroup's operating process.

> Refer to the Quantitative Performance Management process area for practices involved in defining measures of performance at the unit and workgroup level.

4. Workgroups define additional measures needed to analyze and improve how they integrate personal work processes into an overall workgroup operating process.

> The primary purpose of the measures established in this practice is to gain insight into how workgroup performance emerges from the integration of personal work processes, and into how to use this insight to guide improvements at the workgroup level. The most important attribute of these measures is the insight they provide into the factors that determine the workgroup's capability in performing competency-based processes. Examples of issues to consider in defining measures of workgroup measures may include the following:
>
> - Relationship to individual, workgroup, or unit performance objectives
> - Relationship to measures of competency-based, integrated competency-based, or workgroup processes
> - Ability to characterize the integration of individual work processes into a workgroup operating process
> - Likelihood of providing insight into workgroup characteristics, inefficiencies, or sources of mistakes
> - Difficulty of collection or interpretation

5. Workgroups identify the root causes of inefficiency or defects in their operating processes.

6. The workgroup evaluates its capability in performing competency-based processes to determine opportunities for improvement.

> Refer to the Quantitative Performance Management process area for practices involved in determining the capability of the competency-based processes performed by a workgroup.

Practice 7 **Workgroups establish measurable objectives and plans for improving the capability of their operating processes.**

1. The competency-based processes performed by the workgroup are prioritized according to the potential they present for improving workgroup performance.

2. The workgroup sets measurable objectives for improving their capability and performance in high priority processes.

3. Workgroups identify the knowledge, skills, or process abilities of their members that need to be improved to accomplish their improvement objectives.

> This practice extends the training and development needs analysis activities initiated in the Training and Development, Competency Development, and Workgroup Development process areas.

4. Workgroups identify improvements that need to be made to how personal work processes are organized and integrated into an overall workgroup process.

> Workgroups may be capable of accurately analyzing their own performance. However, this analysis is often best performed by an outside party, such as a coach, who can provide impartial analysis of how effectively personal work processes are being integrated into a workgroup process, and what adjustments need to be made to personal work processes to improve workgroup coordination and performance.

5. Workgroups analyze the root causes of inefficiency or defects in their work.

6. When appropriate, workgroups use competency-based assets to improve the capability of their operating processes.

7. Workgroups plan the improvement actions that will be taken to meet their improvement objectives and incorporate these actions into their workgroup and personal development plans.

> Workgroups need to add an element into their planning for completing the tasks required to improve their capability and performance. Individuals, who need to undertake specific improvement activities to either improve their performance or adjust their personal work processes to improve workgroup coordination, should incorporate these actions into their personal development plans.

8.   Workgroups review their improvement objectives and plans with:

❏   other workgroups with whom they share dependencies,

❏   mentors or coaches, as appropriate, and

❏   those responsible for their performance.

Practice 8   **Workgroups continuously improve their capability and performance.**

1.   Workgroups engage in timely improvement activities that satisfy their improvement objectives and plans.

2.   When appropriate, workgroups use mentors to guide improvements in their capability and performance. Mentors assist workgroups in:

❏   defining their work processes and performance measures,

❏   analyzing the coordination of their work processes,

❏   evaluating the capability of their operating processes,

❏   identifying sources of inefficiency or defects in their operating processes,

❏   providing detailed guidance and advice for improving their operating processes,

❏   evaluating the effectiveness of their improvement activities,

❏   making continued improvements, and

❏   taking corrective actions when improvement activities do not have their intended effect.

> Although the coaching provided to a workgroup may be provided by the individual(s) who is responsible for its performance, coaching will more often be provided by an expert in the competency-based processes performed by the workgroup. A workgroup may have several mentors, especially if its members are involved in performing or integrating competency-based based processes from several different workforce competencies. Refer to the Mentoring process area for information regarding preparing for and establishing a mentoring or coaching relationship.

3.   Workgroups eliminate the sources of inefficiency or defects in their work.

4.   When appropriate, workgroups use competency-based assets to improve their capability and performance.

5. When appropriate, workgroups practice performing the competency-based processes that will improve their capability and performance.

6. Workgroups apply their improvements to their committed work and measure the results.

7. Workgroups continuously evaluate their capability and performance to assess progress against improvement goals and plans.

8. When improvement progress deviates significantly from goals and plans, workgroups take corrective actions as appropriate.

> Examples of actions to address deviations from expected improvement progress include the following:
>
> - Evaluating the effectiveness of the improvement activities
> - Evaluating whether sufficient time has been committed to improvement activities
> - Identifying and engaging in alternate improvement activities that may be more appropriate
> - Pursuing expert advice or coaching
> - Revising improvement goals or plans

9. When workgroups achieve their improvement goals, they:
   - ❏ capture lessons learned from the improvement activities,
   - ❏ propose improvements to competency-based processes or their integration across workforce competencies, if appropriate,
   - ❏ contribute material for inclusion in competency-based assets, if appropriate,
   - ❏ adjust capability baselines and other quantitative models that characterize their capability or predict their performance, and
   - ❏ establish new improvement goals and plans.

   > The repeated performance of Practices 7 and 8 form a continuous improvement cycle.

10. Workgroups continuously improve their ability to estimate and plan their operating processes by evaluating their estimates against improved capability and performance results.

Practice 9   **Recommendations resulting from improvements in personal work processes or workgroup operating processes are reviewed to determine if they should be incorporated into competency-based processes.**

1. Individuals and workgroups are encouraged to recommend improvements to competency-based processes that result from their efforts to improve capability.

    > Refer to Practice 5 of this process area for information regarding capturing lessons learned and proposing improvements to competency-based processes by individuals participating in Continuous Capability Improvement activities. Refer to Practice 8 of this process area for information regarding capturing lessons learned and proposing improvements to competency-based processes by workgroups participating in Continuous Capability Improvement activities.

2. Individuals with responsibility for making improvements to competency-based processes evaluate improvement recommendations from individuals and workgroups.

    > Refer to Practices 13 and 14 of this process area for information regarding evaluating and implementing improvements to the organization's critical competency-based processes.

3. Individuals and workgroups are informed of the disposition of their improvement recommendations.

Practice 10   **Within each critical workforce competency, capability objectives are defined for critical competency-based processes.**

    > Refer to the Practice 7 of the Organizational Capability Management process area for information regarding identifying the critical competency-based processes in each critical workforce competency.

1. The organization's performance objectives are analyzed to determine:

    ❏ the business activities that must be performed to achieve them,

❏ the quantitative results required of these business activities if they are to achieve the organization's performance objectives,

❏ which competency-based processes are most critical to achieving these quantitative results and how they interact, and

❏ the performance capability required for each of these critical competency-based processes to satisfy the organization's performance objectives.

2. The capability required of each critical competency-based process is:

❏ defined to an extent sufficient to be incorporated into the organization's Quantitative Performance Management activities,

❏ communicated to those responsible for managing or developing the affected workforce competencies,

❏ established as a target performance objective and communicated to those in the affected competency communities, and

❏ used in setting performance objectives for individuals, workgroups, and units performing the competency-based process, as appropriate.

> Refer to the Quantitative Performance Management process area for information regarding using process capability objectives in setting performance objectives for performing competency-based processes.

3. The capability objectives for competency-based processes are refined and adjusted, as necessary, based on:

❏ changes in business strategy, conditions, or objectives,

❏ the results of capability analyses, or

❏ improvements in the performance of competency-based processes.

> Capability objectives for competency-based processes should be based on analysis of capability and performance data. Examples of factors to be considered in developing quantitative objectives include the following:
>
> - Capability compared to industry benchmarks
> - Customer specified capability levels
> - Cost-benefit tradeoffs for levels of improvement
> - Required capability for improving integration or coordination with other competency-based processes
> - Capability required to support business objectives

Practice 11 **Within each critical workforce competency, capability objectives for competency-based processes are compared to process performance baselines to identify improvement objectives.**

> Refer to Practice 7 of the Organizational Capability Management process area for information regarding establishing process performance baselines.

1. Capability objectives for critical competency-based processes are compared to their process performance baselines to identify gaps between current capability and the capability required to satisfy business objectives.

> Examples of factors to be considered in developing quantitative objectives include the following:
>
> - Capability compared to industry benchmarks
> - Customer specified capability levels
> - Cost-benefit tradeoffs for levels of improvement
> - Required capability for improving integration or coordination with other competency-based processes
> - Capability required to support business objectives

2. Significant gaps between current and required capability levels for critical competency-based processes are used to establish improvement objectives for competency-based processes.

> Refer to Practices 7 and 8 of the Organizational Capability Management process area for information regarding quantifying organizational capability in each of the organization's critical competency-based processes and the quantitative management of capability in each of the organization's critical competency-based processes.

3. Improvement objectives for critical competency-based processes are prioritized and submitted to involved in improving relevant competency-based processes.

Practice 12   **Within each critical workforce competency, responsible individuals identify opportunities for improving the capability and performance of competency-based processes.**

1. The organization identifies the workforce competencies where committing responsible individuals to proactive continuous improvement of competency-based processes are determined to have sufficient business benefit.

> Committing proactive resources for improving competency-based processes for some workforce competencies may not be judged to have sufficient business benefit to justify the commitment of effort and funds. Thus, proactive activities for continuous improvement may be targeted to selected workforce competencies where continual improvement activities are determined to have sufficient business benefit. In each of these affected workforce competencies, responsible individuals coordinate continual improvement activities.

> Continual improvement activities for competency-based processes are generally specific to each workforce competency, but may also involve improvement of multidisciplinary, integrated competency-based processes among several workforce competencies.

2. Data on the capability and performance of competency-based processes are analyzed to determine which competency-based processes are most in need of improvement.

> Refer to Practices 7 and 8 of the Organizational Capability Management process area for information regarding quantifying organizational capability in each of the organization's critical competency-based processes and the quantitative management of capability in each of the organization's critical competency-based processes.

3. Root cause and similar analytic techniques are applied to identify systems of causes that affect the capabilities of critical competency-based processes with the highest priorities for improvement.

4. The causal systems underlying these critical competency-based processes are analyzed to identify the types of improvements from which these processes would most benefit, including candidate improvements to:

❏ the method by which the competency-based process is performed,

❏ the structure or sequencing of tasks within the competency-based process,

❏ the integration of the competency-based process with other competency-based or business processes,

❏ the workforce practices and activities impacting on the performance of the competency-based process,

❏ technologies that would support or automate the process, or.

❏ the preparation of individuals or workgroups to perform the process.

5. The results of these analyses are used to guide investigations of potential improvements to critical competency-based processes.

6. When these analyses indicate that the actual impact of workforce practices and activities on the capability and performance of critical competency-based processes deviates significantly from expectations or capability objectives, corrective actions are taken.

> Refer to Practices 10 and 11 of the Organizational Capability Management process area for information regarding the measurement and analysis activities on which analyses of the impact of workforce practices on performance alignment can be built.

These actions may include:

❏ correcting problems in the performance of workforce activities,

❏ adjusting capability objectives for competency-based processes,

❏ adjusting expectations regarding the impact of workforce practices and activities on the capability and performance of competency-based processes,

❏ redesigning or adjusting workforce practices to improve their impact, and

❏ altering the performance of workforce practices and activities under different conditions to improve their impact.

Practice 13 **Within selected workforce competencies, responsible individuals identify, evaluate, and select improvements to competency-based processes.**

> In addition to improvements that emerge from continuous improvement of individual or workgroup capability and performance, an individual(s) within each workforce competency should proactively investigate improvements in methods or technologies that can be adopted from sources outside the organization.

1. Responsible individuals investigate methods or technologies that have the potential to approach or achieve quantitative improvement objectives.

> Examples of sources of improved methods or technologies include the following:
>
> - Best practices from industry-leading companies
> - New offerings from technology or method vendors
> - Recent developments at universities
> - Demonstrations at trade and industry conferences
> - Results from research laboratories
> - Prototypes from advanced development groups
> - Lessons learned from continuously improving individual or workgroup capability

2. Candidate improvements to competency-based processes are evaluated to determine their anticipated benefits.

> Examples of techniques for evaluating improvements to competency-based processes include the following:
>
> - Analytic studies of the method or technology's anticipated change in a competency-based process's performance or results
> - Data from uses external to the organization
> - Simulations

3. When appropriate, trial implementations are conducted to determine the suitability of improvements to competency-based processes.

    > Examples of reasons for conducting trail implementations include the following:
    >
    > - Validate anticipated improvements in the capability or performance of competency-based processes
    >
    > - Evaluate conditions under which capability results differ from those expected
    >
    > - Identify the learning and support necessary to successfully deploy the improvement

4. Improvements to competency-based processes are selected for deployment based on appropriate criteria.

    > Criteria for evaluating and selecting improvements to competency-based processes may differ among workforce competencies. Examples of criteria that may be used in evaluating improvement recommendations include the following:
    >
    > - Results from an analytic study, simulation, or implementation trial
    >
    > - Anticipated impact on the capability of competency-based processes
    >
    > - Breadth of individuals or workgroups that would benefit from the improvement
    >
    > - Extent to which the improvement can be applied to situations other than the one in which it was first applied
    >
    > - Cost or difficulty of implementing the improvement
    >
    > - Extent to which the improvement provides a reasonable alternative to standard competency-based processes
    >
    > - Extent to which the improvement contains elements that are specific to the individual or workgroup making the recommendation.

Practice 14   **Selected improvement recommendations are incorporated into competency-based processes and made available for use.**

1. Improvements selected for inclusion are incorporated into the descriptions of competency-based processes.

> Refer to Practice 5 in the Competency Analysis process area for practices involved in defining and updating competency-based processes.

2. Improvements selected for inclusion are incorporated into the relevant competency-based assets.

> Refer to Practices 5 and 6 in the Competency-Based Assets process area for practices involved in updating competency-based processes and their integration into competency-based processes and related technologies.

3. Individuals and workgroups are informed of improvements to competency-based processes.

4. Improved competency-based processes are deployed for use by individuals and workgroups.

> Examples of issues to be handled in deploying improvements to competency-based processes include the following:
>
> - Updating descriptions of competency-based processes
> - Incorporating changes into competency development activities
> - Adjusting or redefining measures of competency-based processes, as required
> - Ensuring other workforce competencies engaged in integrated competency-based processes are made aware of potential changes or impacts, if they are anticipated
> - Adjusting individual or workgroup performance objectives, if appropriate
> - Adjusting workforce practices or activities if appropriate

5. Information is gathered and evaluated on the use and benefits of improved competency-based processes.

6. Lessons learned in improving competency-based processes are incorporated into the criteria for evaluating and selecting improvement recommendations.

Practice 15   **The organization's workforce practices are adjusted, as needed, to accommodate continuous improvement activities by individuals and workgroups.**

> Examples of areas where workforce practices may need to be adjusted, based on continuous improvement activities, include the following:
>
> - Performance management
> - Training and development
> - Recognition and rewards
> - Compensation
> - Competency analysis and development
> - Career development
> - Work environment
> - Workgroup development and role definitions
> - Quantitative management of performance
> - Quantitative management of capability

1. Individual improvement objectives and data on personal work processes are confidential and should not be revealed without the agreement of the individual.

2. Objectives and data for improving personal or workgroup performance are not used in performing any workforce activities without the agreement of the individuals affected.

3. Improvements in workgroup capability are incorporated into the organization's capability baselines.

Measurement and Analysis

Measurement 1   **Measurements are made and used to determine the status and performance of activities for Continuous Capability Improvement.**

> Examples of measurements include the following:
>
> - Trends in participation in Continuous Capability Improvement activities
> - Number of individuals trained in techniques for continuously improving personal work processes
> - Number of individuals and workgroups actively engaged in Continuous Capability Improvement activities
> - The number of coaching relationships established
> - The rate at which coaches have helped the individuals and workgroups they coach achieve performance goals
> - Number and types of adjustments made to workforce practices
> - Rate at which goals for individual or workgroup improvements are being accomplished
> - Number of methods and technologies selected for evaluation
> - Number, level of effort, and results for trial implementations of new methods and technologies
> - Number of improvements made to competency-based processes
> - Schedule adherence and level of effort for deploying improvements to competency-based processes

Measurement 2   **Measurements are made and used to determine the effectiveness of activities for Continuous Capability Improvement.**

> Examples of measurements for determining the effectiveness of Continuous Capability Improvement activities include the following:
>
> - Improvements in individual performance
> - Growth in workforce competencies of individuals
> - Improvements in workgroup or unit performance
> - Improvements in workgroup capability
> - Quality improvements in the products or services to which individuals and workgroups contribute
> - Improvement in the coordination within workgroups
> - Improvements to the capability of competency-based processes
> - Improvements reported by customers
> - Enhanced accomplishment of the performance objectives for individuals, workgroups, units, or the organization

Verifying Implementation

Verification 1   **A responsible individual(s) verifies that the activities for Continuous Capability Improvement are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.**

These reviews verify that:

1. The activities for Continuous Capability Improvement comply with the organization's policies and stated values.

2. The activities for Continuous Capability Improvement comply with the relevant laws and regulations.

3. Continuous Capability Improvement activities are performed according to the organization's documented practices and procedures.

4. Noncompliance issues are handled appropriately.

Verification 2 **Executive management periodically reviews the Continuous Capability Improvement activities, status, and results; and resolves issues.**

These reviews verify:

1. The appropriateness of the activities for continuous capability improvement.

2. Progress in performing the activities for continuous capability improvement.

3. Results from reviews of Continuous Capability Improvement practices and activities.

> Refer to Verification 1 for information regarding reviews of Continuous Capability Improvement activities to ensure adherence to the following:
>
> - Relevant laws and regulations
> - Organizational policies, practices, and procedures

4. Status of resolution of noncompliance issues.

5. Trends related to Continuous Capability Improvement.

6. Effectiveness of Continuous Capability Improvement activities in achieving improvements in capability of individual or workgroup processes.

Organizational Performance Alignment

A process area at Maturity Level 5: Optimizing

Purpose	**The purpose of Organizational Performance Alignment is to enhance the alignment of performance results across individuals, workgroups, and units with organizational performance and business objectives.**
Description	Organizational Performance Alignment builds on the analyses of competency-based processes initiated in the Quantitative Performance Management and Organizational Capability Management process areas. Where those analyses focused narrowly on process performance, analyses of performance alignment expand this focus to evaluate how the various components of performance fit together across workgroups, units, and the entire organization. Practices within this process area knit together a complete picture of performance within the organization and how the integration of its various business activities are affected by workforce practices and activities. These analyses allow management to integrate the entire enterprise and use workforce activities strategically to achieve organizational business objectives.
	Workgroups improve the alignment of performance among their members. Units improve performance alignment among the individuals and units that compose it. Organizations improve performance alignment among their units with organizational business objectives. The organization evaluates the impact of its workforce practices and activities on performance alignment and manages these impacts quantitatively.

Goals

Goal 1   **The alignment of performance among individuals, workgroups, units, and the organization is continuously improved.**

Goal 2   **The impact of workforce practices and activities on aligning individual, workgroup, unit, and organizational performance is continuously improved.**

Goal 3   **Organizational Performance Alignment practices are institutionalized to ensure they are performed as defined organizational processes.**

Commitment to Perform

Commitment 1   **The organization establishes and maintains a documented policy for aligning performance across individuals, workgroups, units, and the organization.**

This policy typically specifies that:

1. The organization is committed to continuously aligning performance results at the individual, workgroup, unit, and organizational levels.

2. The organization's performance alignment activities serve the business objectives and stated values of the organization.

3. Measurable objectives are defined for aligning performance at the individual, workgroup, unit, and organizational levels.

4. Measurable objectives for aligning performance are reviewed and revised, if necessary, based on changes in the organization's stated values or strategic business objectives.

5. Performance measures are defined and collected at the individual, workgroup, unit, and organizational levels.

6. Progress toward performance alignment objectives is quantitatively analyzed, reported, and monitored.

7. Responsibilities for performance alignment activities are defined and assigned to appropriate organizational roles.

8. Results of performance alignment analyses are used in managing performance and adjusting workforce practices and activities.

9. Organizational Performance Alignment practices and activities comply with relevant laws, regulations, and organizational policies.

> Human resources or other appropriate professionals are consulted to ensure that collection, use, and access to the data and analyses from performance alignment activities comply with all relevant laws, regulations, and organizational policies.

Commitment 2 **An organizational role(s) is assigned responsibility for coordinating performance alignment activities across the organization.**

> Examples of individuals who might coordinate performance alignment activities include the following:
>
> - Operational managers and executives
> - Quality, efficiency, or performance experts
> - Human resources or other appropriate professionals
> - Competency ownership groups
> - Measurement or process improvement groups

Ability to Perform

Ability 1   **Within each unit, an individual(s) is assigned responsibility and authority for ensuring the unit's involvement in the organization's performance alignment activities.**

> Examples of responsibilities to be performed within units include the following:
>
> - Providing performance capability data to an organizational group for storage and analysis
>
> - Obtaining and using organizational capability baselines in planning and other relevant workforce activities within the unit
>
> - Providing information or data on workforce activities performed within the unit for use in analyzing the impact of workforce practices and activities on performance
>
> - Ensuring appropriate security for, and use of, performance data

Ability 2   **Adequate resources are provided for performing Organizational Performance Alignment activities.**

1. Strategic and operational business objectives are made available for performance alignment activities.

2. Measures of performance are collected and made available for analysis.

> The initial measures required to support this practice were defined in the Performance Management, Competency-Based Practices, Workgroup Development, Empowered Workgroups, Quantitative Performance Management, and Organizational Capability Management process areas at the Managed, Defined, and Predictable maturity levels. As performance alignment activities mature, additional or refined measures can be defined.

3. Experienced individuals who have expertise in analyzing performance data are available to assist with analyses of performance alignment.

4. Experienced individuals with appropriate expertise are available to help use the results of performance alignment analyses to adjust performance-based practices and activities.

5. Resources for supporting performance alignment activities are made available.

> Examples of resources to support performance alignment activities include the following:
>
> - Statistical analysis packages
> - Spreadsheets
> - Performance assessment instruments
> - Databases and other repositories
> - Textual and graphical reporting tools

6. The organization's strategic workforce plan and planned workforce activities in each unit allocate resources for Organizational Performance Alignment activities.

Ability 3   **Individuals performing Organizational Performance Alignment activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.**

1. Those who collect performance data receive orientation on the definitions and use of performance data in analyses.

2. Those who analyze and report performance results have developed the knowledge, skills, and process abilities needed to apply statistics, data analysis and reporting, and other relevant topics needed to perform their responsibilities.

Ability 4   **Individuals and workgroups participating in Organizational Performance Alignment activities receive appropriate orientation in Organizational Performance Alignment practices.**

Individuals and workgroups receive the orientation required to interpret and use performance alignment results if they have responsibilities for:

❏ using performance alignment results for planning and managing business activities,

❏ adjusting workforce practices and activities based on performance alignment results, and

❏ using performance alignment results to understand or improve performance among individuals, workgroups, units, or the organization.

Ability 5   **The practices and procedures for performing Organizational Performance Alignment are defined and documented.**

1. Practices and procedures are defined and documented at the organizational or unit levels, as appropriate.

2. Guidelines for tailoring the practices and procedures for use in different circumstances are documented and made available, as necessary.

3. The individual(s) assigned responsibility for Organizational Performance Alignment activities across the organization ensures that defined practices and procedures are:

❏ maintained under version control,

❏ disseminated through appropriate media,

❏ interpreted appropriately for different situations, and

❏ updated through orderly methods.

4. Experiences, lessons learned, measurement results, and improvement information derived from planning and performing Organizational Performance Alignment practices are captured to support the future use and improvement of the organization's practices.

Practices Performed

Practice 1   **Workgroups continuously improve the alignment of performance among individuals and across the workgroup.**

1. Workgroups define their methods for evaluating performance alignment, including:

❏ adjustments to Quantitative Performance Management practices required to evaluate performance alignment,

❏ analyses to be conducted,

❏ methods for using the results, and

❏ additional performance data required to support the analyses.

> Examples of performance data to be analyzed include the following:
>
> - Individual performance results
> - Performance results for competency-based and interdisciplinary processes
> - The quality of intermediate or final products and services
> - Performance against commitments
> - Contribution to the unit's measurable performance objectives

2. Workgroups analyze performance data to identify misaligned performance among individuals or across the workgroup.

> Examples of misaligned performance to be managed at the workgroup level include the following:
>
> - Unrecognized conflicts among individual or workgroup performance objectives or commitments
> - Performance problems caused by those processes whose performance impedes the performance of other processes
> - Timing and coordination problems among individuals or across the workgroup
> - Work products that satisfy the exit criteria of processes that produced them, but do not satisfy the needs of other individuals, workgroups, or units to whom they are delivered
> - Effort that exceeds the requirements for achieving performance objectives, yet fails to add value
> - Conflicts between self-managed workforce activities within the workgroup and workgroup performance objectives
> - Improvements or corrective actions that have unintended side effects on other aspects of performance

> Refer to the Quantitative Performance Management process area for information regarding establishing quantitative control over competency-based processes to achieve a unit's measurable performance objectives.

3. The root causes of misaligned performance are identified.

4. Measurable objectives for aligning performance are included in the performance objectives of misaligned individuals and workgroups.

> Examples of measurable objectives for aligning performance include the following:
>
> - Individual performance against workgroup performance objectives
> - Contributions by individuals or workgroups to the achievement of performance objectives of other individuals or workgroups
> - Contributions by individuals or workgroups to improvements in the work environment or culture of workgroups
> - Individual or workgroup development against capability development objectives
> - Individual or workgroup performance against continuous improvement objectives

5. Improvement actions for aligning performance among individuals or within the workgroup are identified and implemented.

6. Performance data are monitored and evaluated to determine if performance:
   - ❏ has become more aligned,
   - ❏ satisfies the alignment objectives, or
   - ❏ requires additional actions to improve alignment.

Practice 2   **Units align performance among individuals, workgroups, and other entities within the unit.**

1. Units define their methods for evaluating performance alignment, including:
   - ❏ adjustments to Quantitative Performance Management practices required to evaluate performance alignment,
   - ❏ analyses to be conducted,
   - ❏ methods for using the results, and
   - ❏ additional performance data required to support the analyses.

> Examples of performance data to be analyzed include the following:
>
> - Performance results for competency-based and interdisciplinary processes
> - Performance results aggregated across workgroups or units
> - The quality of intermediate or final products and services
> - Performance against commitments
> - Contribution to the unit's measurable performance objectives

2. Units analyze performance data to identify misaligned performance among individuals, workgroups, or other entities composing the unit.

> When individuals work independently and are not part of a workgroup, misalignments in their performance must be managed at the unit level by a responsible individual(s) at the unit level. A unit may be composed of other units and is therefore responsible for aligning performance among these subordinate units.

> Examples of misaligned performance to be managed at the unit level include the following:
>
> - Individuals working independently whose performance is not sufficiently synchronized with the performance of other individuals, workgroups, or units with whom they share dependencies
> - Timing and coordination problems among workgroups or units
> - Workgroups whose commitments or business activities interfere with the business activities or commitments of other workgroups or units
> - Timing and coordination problems that develop among individuals or workgroups who are achieving their measurable performance objectives
> - Work products that satisfy the exit criteria of processes that produced them, but do not satisfy the needs of other individuals, workgroups, or units to whom they are delivered
> - Work that fails to add value
> - Conflicts between workforce activities and unit performance objectives
> - Improvements or corrective actions that have unintended side effects on other workgroups or units

> Refer to Practice 2 of the Quantitative Performance Management process area for information regarding establishing measurable performance objectives that most contribute to organizational business objectives.

3. The root causes of misaligned performance are identified through methods that involve all misaligned individuals, workgroups, and units.

4. Measurable objectives for aligning performance are included in the performance objectives of misaligned individuals, workgroups, and units.

> This subpractice builds on practices already established in the Performance Management process area at the Managed Level, the Competency-Based Practices and Workgroup Development process areas at the Defined Level, and the Empowered Workgroups and Quantitative Performance Management process areas at the Predictable Level.

> Examples of measurable objectives for aligning performance include the following:
>
> - Individual performance against workgroup, unit, and organizational performance objectives
> - Workgroup performance against unit and organizational performance objectives
> - Unit performance against organizational performance objectives
> - Contributions by individuals, workgroups, or units to the achievement of performance objectives of other individuals, workgroups, or units
> - Contributions by individuals, workgroups, or units to improvements in the overall work environment or culture of workgroups, units, or the organization
> - Individual and workgroup development against workgroup, unit, and organizational objectives for capability development
> - Individual, workgroup, unit, and organizational performance against continuous improvement objectives

5. Actions for aligning performance among individuals, workgroups, or units are identified and implemented. These actions may involve:

    ❏ improving the performance of one or more individuals, workgroups, or units,

❏ improving coordination among several individuals, workgroups, or units,

❏ tailoring existing processes or defining new processes to improve alignment in the performance of several workgroups or units,

❏ changing or adjusting performance objectives or commitments at the individual, workgroup, or unit level, or

❏ clarifying confusing or conflicting processes or objectives.

6. Performance data are monitored and evaluated to determine if performance:

❏ has become more aligned,

❏ satisfies the alignment objectives, or

❏ requires additional actions to improve alignment.

Practice 3   **The organization aligns performance across units and with the organization's business objectives.**

Examples of misaligned performance to be managed at the organizational level include the following:

- Misalignment of performance or objectives among units

- Misalignment of unit performance or objectives with organizational business strategies and objectives

- Mismatches between current or strategic levels in workforce competencies and organizational business objectives

- Conflicts between workforce practices or activities and organizational business objectives

- Mismatches between organizational process performance capabilities and business objectives

- Products or services that are misaligned across units or with organizational objectives

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1. Responsible individuals define methods for evaluating performance alignment at the organizational level, including:

❏ adjustments to Organizational Capability Management practices required to evaluate performance alignment,

❏ analyses to be conducted,

❏ methods for using the results, and

❏   additional performance data required to support the analyses.

2.   Organizational performance data is analyzed to identify misaligned performance among units.

> Refer to the Practice 10 of the Continuous Capability Improvement process area for information regarding establishing the organization's capability objectives for critical competency-based processes. Also refer to Practices 1, 2, and 3 of the Quantitative Performance Management process area for information regarding establishing measurable performance objectives at individual, workgroup, unit, and organizational levels.

> Examples of performance data or measures to be analyzed include the following:
>
> - Performance against commitments
> - Contribution to the unit's measurable performance objectives
> - Performance results aggregated across units or at the organizational level
> - Trends in capability baselines and process performance baselines
> - Quality measures or customer response to products and services
> - Performance in meeting organizational business objectives
> - Measures related to customers, the organization's workforce, the organization, or to the community and society in which the organization operates
> - Financial measures, such as Return on Capital Employed (ROCE), Residual Income (RI), or cashflow return on investment (CFROI)
> - Balanced Scorecard [Kaplan 92] measures
> - Value-based metrics, such as Economic Value Creation (EVC), Economic Value Added (EVA®) [Ehrbar 98], or shareholder value analysis (SVA)

3. The root causes of misaligned performance are identified through methods that involve all misaligned units and other affected parties.

> This subpractice builds on practices already established in the Workgroup Development process area at the Defined Level and the Organizational Capability Management process area at the Predictable Level. That is, performance objectives and capabilities for individual units need to be evaluated for the effect of their interactions and coordination on mutual business objectives. Performance data from within and across units is analyzed to identify root causes for misaligned performance.

> Examples of other affected parties may include the following:
>
> - Customers
> - Labor unions or other organizations representing the workforce
> - Directors or stockholders
> - Professional or regulatory organizations
> - Executive management

5.

4. Actions for aligning performance among units and with organizational business objectives are identified and implemented. These actions may involve:

   ❏ improving the performance of one or more units,

   ❏ improving coordination among several units,

   ❏ tailoring existing processes or defining new processes to improve alignment in the performance of units,

   ❏ changing or adjusting performance objectives or commitments at the unit or organizational level,

   ❏ clarifying confusing or conflicting processes or objectives.

> This subpractice builds on practices already established in the Performance Management process area at the Managed Level, the Competency-Based Practices and Workgroup Development process areas at the Defined Level, and the Quantitative Performance Management process area at the Predictable Level.

5. Performance data are monitored and evaluated to determine if performance:

❏ has become more aligned,

❏ satisfies the alignment objectives, or

❏ requires additional actions to improve alignment.

Practice 4   **The impact of the organization's workforce practices and activities on aligning performance is understood quantitatively.**

1. Performance alignment results at the workgroup, unit, and organizational levels are quantified and recorded, based on analyses of performance data.

> These results serve as baselines (or recurring observations) for performing trend analyses. Refer to subpractices 1 and 2 in Practices 1, 2, and 3 for the analyses from which these baselines can be established.

2. Trends in the impact of workforce activities on aligning performance at the individual, workgroup, unit, and organizational levels are established quantitatively.

> Refer to Practices 10 and 11 of the Organizational Capability Management process area for information regarding the measurement and analysis activities on which analyses of the impact of workforce practices on performance alignment can be built.

> Examples of analyzing the impact of workforce practices and activities may include the following:
>
> - The impact of performance management activities on aligning performance
>
> - The impact of mentoring on understanding how to align performance
>
> - The impact of salary adjustment criteria and bonus determinations, if applicable, on aligning performance
>
> - The impact of individual, workgroup, unit, and organizational rewards for aligning performance
>
> - The impact of strategies for career development on aligning performance
>
> - The impact of including performance alignment material in training and competency development
>
> - The impact of participatory commitment procedures on reducing over-commitment
>
> - The impact of work environment factors on aligning performance
>
> - The impact of workgroup factors, such as development or empowerment of the workgroup, on aligning performance

3. Results of these analyses are made available for use in managing and improving performance-related workforce activities.

> Examples of individuals or entities who receive analyses of the impact of workforce practices and activities on organizational performance alignment could include the following:
>
> - Those responsible for coordinating workforce practices and activities across the organization
>
> - Those responsible for performing and reporting workforce activities
>
> - Those with management responsibilities for units
>
> - Executive management

Practice 5   **The impact of workforce practices and activities on performance alignment is managed quantitatively.**

1. Responsible individuals use quantitative analyses of the impact of workforce practices and activities to evaluate:

    ❏ the impacts of workforce practices and activities on aligning performance across individuals, workgroups, units, and the organization,

    ❏ conditions under which the impacts of workforce practices and activities vary, and

    ❏ needs for corrective action.

2. Corrective actions are taken when quantitative evaluations indicate that the actual impact of workforce practices and activities on performance alignment deviates significantly from expectations or performance objectives. These actions may include:

    ❏ correcting problems in the performance of workforce activities,

    ❏ redesigning or adjusting workforce practices to improve their impact on alignment,

    ❏ altering the performance of workforce practices and activities under different conditions to improve their impact, or

    ❏ altering the performance or capability objectives that workforce practices and activities were intended to support.

Practice 6   **Evaluations of the impact of workforce practices and activities on performance alignment are used in performing other business and workforce activities.**

1. Evaluation results are used in strategic business and workforce planning to evaluate or predict such factors as:

    ❏ the potential of workforce practices and activities to improve performance alignment at the individual, workgroup, unit, or organizational levels,

    ❏ the rate at which the organization can approach and achieve strategic performance objectives for the business, or

    ❏ the return-on-investment for expenditures of time or financial resources on performance alignment activities.

2. Evaluation results are used to guide such actions as:

    ❏ designing more effective workforce practices for aligning performance,

    ❏ redesigning, replacing, or eliminating workforce practices that cause misaligned performance, or

    ❏ setting or allocating more realistic or effective quantitative performance objectives.

Measurement and Analysis

Measurement 1 **Measurements are made and used to determine the status and performance of the organization's performance alignment activities.**

> Examples of measurements include the following:
>
> • The number and frequency of analyses being conducted at the workgroup, unit, and organizational levels
>
> • The number of instances of misaligned performance identified in these analyses
>
> • Frequency distributions of the types or causes of misaligned performance
>
> • Number and type of corrective actions taken to remedy misaligned performance
>
> • Number and type of adjustments made to workforce practices and activities to improve performance alignment

Measurement 2   **Measurements are made and used to determine the effectiveness of the organization's performance alignment activities.**

> Examples of measurements to determine the effectiveness of performance alignment activities include the following:
>
> - Improvements in performance at the individual, workgroup, unit, or organizational levels
> - Improvements in the process performance baseline results for competency-based processes
> - Increases in the organization's ability to correct misaligned performance or other results needing corrective action
> - Increases in the speed with which the organization or its units can deploy and align new performance objectives
> - Increases in the organization's ability to align its performance objectives and results over time

Verifying Implementation

Verification 1   **A responsible individual(s) verifies that the organization's performance alignment activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.**

These reviews verify that:

1. Organizational Performance Alignment activities comply with the organization's policies and stated values.

2. Organizational Performance Alignment activities comply with relevant laws and regulations.

3. Organizational Performance Alignment activities are performed according to the organization's documented practices and procedures.

4. Noncompliance issues are handled appropriately.

Verification 2   **Executive management periodically reviews the organization's performance alignment activities, status, and results; and resolves issues.**

These reviews verify:

1. The appropriateness of performance alignment activities at the individual, workgroup, unit, and organizational levels.

2. Progress in performing Organizational Performance Alignment activities.

3. Results from reviews of Organizational Performance Alignment practices and activities.

> Refer to Verification 1 for information regarding reviews of Organizational Performance Alignment activities to ensure adherence to the following:
>
> • Relevant laws and regulations
> • Organizational policies, practices, and procedures

4. Status of resolution of noncompliance issues.

5. Trends related to Organizational Performance Alignment.

6. Effectiveness of the organization's performance alignment activities in achieving alignment of performance across the individual, workgroup, unit, and organizational levels.

Verification 3   **The definition and use of measures of individual, workgroup, unit, and organizational performance are periodically audited for compliance with organizational policies.**

Continuous Workforce Innovation

A process area at Maturity Level 5: Optimizing

Purpose

The purpose of Continuous Workforce Innovation is to identify and evaluate improved or innovative workforce practices and technologies, and implement the most promising ones throughout the organization.

Description

Continuous Workforce Innovation involves establishing mechanisms for proposing improvements in workforce activities, identifying needs for new practices, surveying and evaluating innovative practices and technologies, conducting exploratory trials of new practices and technologies, and implementing the most beneficial ones across the organization.

Innovative workforce practices and technologies include new channels for recruiting, new selection techniques, innovative ways to manage performance, innovative technologies for communication, creative compensation schemes, introducing new media and methods for developing knowledge and skills, alternative career choices, and new ways of organizing and empowering the workforce.

Effort toward implementing innovative workforce practices is included in the strategic workforce plans. The group assigned responsibility for coordinating continuous workforce innovation stays aware of the current effectiveness of the organization's workforce activities. A procedure for proposing improvements to workforce activities is developed and communicated to the workforce. Recommendations for adopting innovative or improved workforce practices can result from suggestions from the workforce or from analyzing best practices at other organizations. The coordinating group continually reviews internal proposals and external developments in workforce practices and technology to determine which innovations offer the greatest opportunity to improve the

competency and performance of the organization. The most promising innovations can be tried and, if successful, they are implemented across the organization. The effectiveness of these improved practices is evaluated quantitatively and the results are communicated to the workforce.

Goals

Goal 1	**The organization establishes and maintains mechanisms for supporting continuous improvement of its workforce practices and technologies.**
Goal 2	**Innovative or improved workforce practices and technologies are identified and evaluated.**
Goal 3	**Innovative or improved workforce practices and technologies are deployed using orderly procedures.**
Goal 4	**Continuous Workforce Innovation practices are institutionalized to ensure they are performed as defined organizational processes.**

Commitment to Perform

Commitment 1   **The organization establishes and maintains a documented policy for conducting Continuous Workforce Innovation activities.**

> This policy establishes organizational expectations for identifying improvements in workforce practices and technology innovations that measurably improve the organization's workforce capability and process performance.

Issues typically addressed in the policy include:

1. The continuous improvement and innovation of workforce practices:

    ❏ serves the business objectives and stated values of the organization, and

    ❏ complies with all relevant laws, regulations, and organizational policies.

2. The organization sets and tracks measurable goals for improvement to be achieved through the adoption of innovative workforce practices.

3. Improvements in workforce activities are directed toward:

    ❏ improving the organization's capability in its workforce competencies;

    ❏ aligning performance at the individual, workgroup, unit, and organizational levels; or

    ❏ improving the efficiency of workforce activities.

4. The organization maintains an awareness of:

    ❏ new developments in workforce practices and technologies, and

    ❏ trends in workforce attitudes and needs.

5. The organization evaluates promising new workforce practices and technologies and adopts the most effective ones for ordinary use.

6. All members of the workforce are able to participate in continuously improving workforce activities.

Commitment 2   **An organizational role(s) is assigned responsibility for coordinating the continuous innovation and improvement of workforce practices across the organization.**

> Although everyone in the organization may submit improvement proposals (and broad participation should be encouraged), the responsibility and authority for collecting, evaluating, selecting, and coordinating the deployment of innovative improvements is usually assigned to a group or team having responsibility for coordinating continuous improvement activities. Several such groups may exist within the organization, with each group focused on a different area of workforce practices. Examples of how continuous innovation and improvement of workforce practices might be coordinated across the organization include the following:
>
> • A committee reviewing improvement recommendations submitted by individuals or groups
>
> • Specialists in each area of workforce practices working to improve practices or adopt innovations in their area
>
> • A team of experts working together to develop or deploy innovative practices in their area of expertise
>
> • Workforce experts working independently or as a team with technologists to develop innovative workforce technologies in such areas as training or workgroup communication

The role(s) coordinates and helps to:

1. Review suggested improvements in workforce practices submitted by individuals or groups.

2. Identify needed improvements in workforce practices.

3. Explore potential applications of innovative workforce practices and technology.

4. Select and plan for the implementation of innovative or improved workforce practices and technologies.

5. Acquire, customize, install, and evaluate new workforce practices and technologies.

6. Communicate and coordinate with researchers on new developments in workforce practices and technologies that may have potential benefit within the organization.

7. Communicate with suppliers of workforce technology on problems and enhancements.

Ability to Perform

Ability 1   **Within each unit, a responsible individual(s) coordinates actions regarding proposals for improving workforce practices and activities and manages deployment of improvements or innovations.**

Ability 2   **Adequate resources are provided for continuously improving workforce practices and activities.**

1. Data are available for evaluating the needs for continuous workforce improvements or innovations.

> Refer to the Communication and Coordination, Quantitative Performance Management, Organizational Capability Management, Organizational Performance Alignment, and Continuous Capability Improvement process areas regarding sources of data that can be used to evaluate the needs for continuous improvement.

2. Experienced individuals with expertise in specialized areas are available to help in evaluating, planning, and supporting initiatives for innovating or improving workforce practices and technologies.

> Examples of specialized areas for continuous workforce innovation include the following:
>
> - Traditional workforce functions, such as selection or training
> - Resources to support ongoing work, such as computers and software
> - Advanced communication technology
> - Computer-aided training and learning technologies
> - Groupware and team coordination technologies
> - Knowledge assessment and knowledge management methods
> - Performance enhancement methods
> - Computer-supported cooperative work
> - Organizational design strategies

3. Resources for supporting continuous improvement of workforce practices and activities are made available.

> Examples of resources to support continuous improvement include the following:
>
> - Workstations and software
> - Workgroup software and other groupware technologies
> - Instructional design technology
> - Communication technology
> - Resources to support scanning the external environment for improvement opportunities, such as benchmarking or subscriptions to on-line databases and external research services

4. Funding and resources are available for:
   - ❏ acquiring advanced workforce technologies for evaluation and for running trial projects,
   - ❏ supporting the facilities and infrastructure needed to install and maintain advanced workforce practices and technology, and
   - ❏ establishing the knowledge, skills, and process abilities needed to use improved workforce practices.

5. Time and support are made available for evaluating suggestions and conducting trial implementations.

Ability 3 **Those responsible for continuously innovating and improving workforce practices and activities develop the knowledge, skills, and process abilities needed to perform their responsibilities and to apply relevant evaluation methods and continuous improvement techniques.**

> Examples of relevant methods and techniques include the following:
>
> - Advanced workforce practices
> - Continuous improvement techniques
> - Change management
> - Field experimentation
> - Technology evaluation
> - Usability analysis
> - Workforce performance analysis

Ability 4 **Individuals receive orientation or preparation in the innovative or improved workforce practices and technologies adopted by the organization.**

1. Individuals who are responsible for performing new workforce activities have developed the knowledge, skills, and process abilities needed to perform their new responsibilities.

2. Individuals who will be subject to new workforce practices and activities are provided orientation to the new activities.

3. Individuals who will use new workforce technologies receive required training in the use of these technologies.

4. Consulting support is available on a continuing basis in the use of new workforce practices and technologies.

Ability 5 **The practices and procedures for performing Continuous Workforce Innovation are defined and documented.**

1. Practices and procedures are defined and documented at the organizational or unit levels, as appropriate.

2. Guidelines for tailoring the practices and procedures for use in different circumstances are documented and made available, as necessary.

3. The individual(s) assigned responsibility for coordinating Continuous Workforce Innovation activities across the organization ensures that defined practices and procedures are:

    ❏ maintained under version control,

    ❏ disseminated through appropriate media,

    ❏ interpreted appropriately for different situations, and

    ❏ updated through orderly methods.

4. Experiences, lessons learned, measurement results, and improvement information derived from planning and performing Continuous Workforce Innovation practices are captured to support the future use and improvement of the organization's practices.

Practices Performed

Practice 1   **The organization establishes a framework for continuously improving its workforce practices and activities.**

1. The organization identifies a group of responsible individuals with organization-wide responsibility for continuous improvement within each area of workforce practices and activities

> Examples of those with organization-wide responsibility for continuous improvement of workforce practices include the following:
>
> • Staff functions, such as human resources or training, that incorporate continuous improvement responsibilities into their committed work
>
> • Competency ownership teams
>
> • Task forces composed of those responsible for specific workforce practices and those who represent other relevant areas of the organization

2. Those with organizational responsibility for continuous improvement within an area of workforce practices and activities, establish for their area:

    ❏ organizational priorities for improvements, if any,

    ❏ approaches and guidance for identifying and implementing improvements,

    ❏ high-level plans for pursuing improvement activities,

    > At a high level, Continuous Workforce Innovation activities may be planned as part of the organization's strategic workforce plan. Planning for Continuous Workforce Innovation activities is based on the units' and the organization's measurable objectives. Refer to Practice 6 for information regarding establishing quantitative improvement objectives. Action teams should also develop plans for specific improvement planning, piloting, and deployment activities focused on improving the organization's capability. Deployment planning is addressed in Practice 10 of this process area.

    ❏ funding and other resources required to support planned improvement activities, and

    ❏ how improvement activities will incorporate both suggestions from the workforce and structured improvement activities guided by quantitative objectives and analyses.

Practice 2 **Individuals and workgroups are empowered to continuously improve their performance of workforce activities.**

1. The workforce is informed of:

    ❏ their ability to continuously improve the competency-based processes that they perform,

    > Refer to Practices 9, 12, 13 and 14 of the Continuous Capability Improvement process area for information regarding continual improvement of competency-based processes.

    ❏ their ability to continuously improve the workforce activities that they perform, and

    ❏ methods available to them for participating in improvement activities.

2. Those who perform workforce practices and activities are encouraged to identify improvements in performing their responsibilities.

3. When they begin performing an improved practice or activity, individuals or workgroups record evidence for evaluating whether the new practice represents an improvement over previous methods.

Practice 3   **A continuous improvement program is established to encourage individuals and workgroups to propose improvements to workforce practices and activities.**

1. Based on their experience in implementing improved workforce practices or activities, individuals and workgroups are encouraged to submit improvement proposals for possible adoption across their units or across the organization.

> Refer to Practices 5 and 8 of the Continuous Capability Improvement process area for information regarding capturing lessons learned from continuous improvement of personal and workgroup processes.

2. Improvement proposals can:

    ❏ be submitted by any individual or workgroup, and

    ❏ address any area of workforce practices or activities.

3. Proposals concerning workforce practices or activities at the organizational level are reviewed by those coordinating improvements in the relevant area of workforce practices for the organization.

4. Proposals concerning workforce activities within a unit are reviewed by the person(s) responsible for workforce activities within the unit, with advice from an appropriate person at the organizational level, if appropriate.

5. Improvement proposals are evaluated by appropriate individuals or groups responsible for improving the area of workforce practices relevant to the proposal.

6. When the implementation of a proposal is localized to a unit and does not require changes to policies or procedures at the organizational level, the unit is empowered to implement the improvement with appropriate review and guidance.

7. Decisions regarding proposals that affect practices and activities at the organizational level are evaluated in the context of other proposed improvements or innovations.

8. Individuals and workgroups are informed of decisions regarding their improvement proposals.

Practice 4   **Workforce opinions about their working conditions are periodically evaluated to identify areas that would most benefit from innovative or improved practices.**

1. Based upon data collected regarding employee opinions about their working conditions, identify and document employee needs, requirements, and priorities.

> Refer to Practice 4 of the Communication and Coordination process area for information regarding the gathering of employee opinions.

> Example techniques for gathering employee opinions include the following:
> - Focus groups
> - Interviews
> - Surveys
> - Satisfaction feedback
> - Exit interviews

2. The employee needs, requirements, or priorities emerging from these analyses provide inputs for use in:
   - ❏ identifying workforce practices needing improvement, and
   - ❏ selecting among improved workforce practices for trial use and deployment.

Practice 5   **Data regarding the impact of the organization's workforce practices and activities are analyzed to identify areas that would most benefit from innovative or improved practices.**

1. Data on the capability of the organization's competency development activities are analyzed to determine:

❑   which of the organization's workforce competencies would most benefit
from innovative or improved competency development practices or
activities,

> Refer to Practices 2 and 3 of the Organizational Capability Management
> process area for practices quantifying organizational capability in each of
> the organization's critical workforce competencies and the quantitative
> management of capability in each of the organization's critical workforce
> competencies.

❑   within each workforce competency, which competency development
activities have been most effective and which are in most in need of
improvement, and

> Refer to Practices 5 and 6 of the Organizational Capability Management
> process area for information regarding quantitative management of those
> competency development activities that have impacts on the capability of
> critical workforce competencies.

❑   within each workforce competency, which workforce practices have
been most effective and which are most in need of improvement.

> Refer to Practices 5 and 6 of the Organizational Capability Management
> process area for information regarding quantitative management of those
> workforce practices and activities that have impacts on the capability of
> critical workforce competencies.

2. Data on the impact of workforce practices and activities on the capability of
competency-based processes are analyzed to determine:

❑   which competency-based processes are most in need of improvement,
and

> Refer to Practices 7 and 8 of the Organizational Capability Management
> process area for information regarding quantifying organizational
> capability in each of the organization's critical competency-based
> processes and the quantitative management of capability in each of the
> organization's critical competency-based processes.

    ❏ within each area of competency-based processes, which workforce practices have had the most beneficial impact and which are most in need of improvement.

> Refer to Practice 10 of the Organizational Capability Management process area for information regarding quantitative management of those workforce practices and activities that have impact on the capability and performance of competency-based processes.

3. Data on the impact of workforce practices and activities on the alignment of performance are analyzed to determine:

    ❏ which areas of performance are most in need of improved alignment, and

> Refer to Practices 1, 2, and 3 of the Organizational Performance Alignment process area for information regarding analysis of data on the alignment of performance across the organization.

    ❏ within each area of misaligned performance, which workforce practices have had the most beneficial impact and which are most in need of improvement.

> Refer to Practices 4 and 5 of the Organizational Performance Alignment process area for information regarding analysis of data concerning the impact of workforce practices and activities on the alignment of performance across the organization.

Practice 6   **Quantitative objectives are established for improving the impact of workforce practices and activities.**

> Quantitative objectives for improving workforce practices may be established at several levels. They may be established globally across all workforce practices, or they may be established separately for each area of workforce practices, such as staffing practices, compensation practices, and competency development practices. They may be established for specific needs within each workforce competency, or they may be established at the organizational level to affect all workforce competencies. They may be established separately within an organizational unit based on the need to address specific business conditions within that unit.

> Quantitative objectives should be set at a level where sufficient control is exercised over the performance of the workforce practice to achieve the targeted result. Quantitative objectives are typically based upon needs for:
>
> - Improving capability in workforce competencies
> - Aligning performance
> - Anticipated current and future workforce needs

1. Quantitative objectives for improving the impact of competency development practices and activities are based on:

   ❑ the organization's strategic objectives for developing capability in each of its workforce competencies compared to the impact of its competency development practices and activities, and

   ❑ the opportunities for improvement identified in analyzing data on the impact of competency development practices and activities.

2. Quantitative objectives for improving the impact of workforce practices and activities on competency-based processes are based on:

   ❑ the current capability of competency-based processes compared to the capability required to achieve organizational business objectives, and

   ❑ the opportunities for improvement identified in analyzing data on the impact of workforce practices and activities on the capability and performance of competency-based processes.

3. Quantitative objectives for improving the impact of workforce practices and activities on the alignment of performance are based on:

   ❑ the current level of performance alignment across individuals, workgroups, and units compared to that needed to achieve organizational business objectives, and

   ❑ the opportunities for improvement identified in analyzing data on the impact of workforce practices and activities on the alignment of performance.

Practice 7   **The organization continuously investigates innovative workforce practices and technologies.**

Those responsible for coordinating the continuous innovation and improvement of workforce practices and technologies across the organization:

1. Maintain awareness of:
    ❏   quantitative objectives for improving the impact of competency development practices and activities,
    ❏   quantitative objectives for improving the impact of workforce practices and activities on competency-based processes,
    ❏   quantitative objectives for improving the impact of workforce practices and activities on the alignment of performance,
    ❏   analyses of the organization's competency and capability management data,
    ❏   evaluations of the organizations proposals for improvements to workforce practices,
    ❏   results of assessments of the organization's workforce practices and activities,
    ❏   opinions and concerns of the workforce, and
    ❏   other relevant information about the business conditions affecting the organization.

2. Search for innovations and other developments in workforce practices and technologies through such means as:
    ❏   reading relevant journals and periodicals,
    ❏   attendance at relevant seminars and conferences,
    ❏   benchmarking with other organizations known to innovate in relevant areas of workforce practices, and
    ❏   use of consultants or other external sources of expertise in the state of the art.

3. Determine the feasibility of implementing promising workforce practices and technologies by:
    ❏   gathering information from vendors and consultants on previous implementation and maintenance costs,

❏ estimating the cost of implementing and maintaining any communication, information, or other technology required to support the innovative practice,

❏ evaluating the training and other implementation and maintenance costs involved, and

❏ assessing the potential disruption and learning curve associated with introducing the innovative practice.

4. Recommend which innovations in workforce practices and technologies would provide the greatest potential benefit to the organization.

Practice 8	**Innovative and improved workforce practices and technologies are evaluated and selected for implementation.**

1. Those responsible for coordinating the continuous innovation and improvement of workforce practices and technologies review improvement proposals and information on innovative practices or technologies in their area and select the most promising for further evaluation.

2. Preliminary cost-benefit analyses are performed for the anticipated impact of proposed innovations or improvements and those with the highest potential benefits are selected for implementation.

3. The potential risks to effective implementation or potential benefits of selected innovations or improvements are evaluated.

4. Innovative and improved workforce practices and technologies that are evaluated to have few risks to effective implementation or expected benefits are approved for organization-wide implementation.

> For an innovative or improved practice or technology to be evaluated as having few risks, its effective implementation or expected benefits should have already been demonstrated within a unit or in other organizations whose conditions are similar to those under which it will be implemented. When there is uncertainty about a practice or technology, it is evaluated in a trial before being implemented throughout the organization.

5. When significant risks to effective implementation or potential benefits are identified, the innovation or improvement is proposed for trial implementation.

Practice 9   **When appropriate, innovative or improved workforce practices or technologies are evaluated in trials to evaluate their benefits and most effective methods for implementation.**

> The trial is designed to show the strengths and weaknesses that an innovative or improved practice or technology would exhibit in use throughout the organization. Therefore, the trial should identify risks to successful implementation and expected benefits by exposing the practice or technology to the typical conditions under which it will be implemented throughout the organization.

1. The objectives and evaluation criteria for the trial are documented.

2. A plan for conducting one or more trials is developed which covers:

    ❏   the unit(s) to be involved in the trial,

    ❏   resources needed to conduct the trial,

    ❏   the schedule of activities involved in the trial,

    ❏   the training for those who will implement the practice or use the technology,

    ❏   the orientation of those who are affected by the trial,

    ❏   the criteria for evaluating the trial,

    ❏   the data and other information that will be collected for evaluating the trial,

    ❏   how the evaluation will be performed, and

    ❏   the steps to be taken if the trial demonstrates that the practice or technology is beneficial.

3. The plan for the trial is reviewed by all affected parties.

> Examples of affected parties for trials include the following:
>
> - Those responsible for administering innovative or improved workforce practices
> - Those affected by innovative or improved workforce practices or technologies
> - Those who must use innovative or improved workforce practices or technologies
> - Those who must provide support for innovative or improved workforce practices or technologies

4. Those responsible for innovative or improved workforce practices or technologies provide consultation and assistance to the trial.

5. The trial is conducted and evaluated according to the plan.

6. The results of the trial effort are collected, analyzed, and documented, including:

   ❑ documentation of any lessons learned and problems encountered during the trial,

   ❑ estimates of the benefits and impacts of broader use in the organization, and

   ❑ assessment of risks in moving to broader implementation.

7. Adjustments to a proposed workforce practice or technology are made and documented during the trial effort to optimize its effective implementation and benefits.

8. Based on trial results, a decision is made to either:

   ❑ terminate the further work with the practice or technology because it has proven ineffective,

   ❑ proceed with full implementation, or

   ❑ make adjustments to the practice or technology, based on lessons learned, and then replan and continue with additional trials.

Practice 10   **The deployment of innovative or improved workforce practices or technologies is planned and prepared.**

1. The scope of the organization to which the innovative or improved practice or technology is to be deployed is identified.

> The scope to which an innovative or improved practice or technology may be applied can include the entire organization or it may be restricted a specific component of the organization, such as the following:
>
> - Specific workforce competencies
> - Specific segments of the workforce
> - Specific units
> - Specific locations

2. A plan is developed for deploying innovative or improved workforce practices or technologies that have been approved for organization-wide use. The plan typically covers:

   ❑ resources needed for deployment,

   ❑ the schedule for deployment across units,

   ❑ the activities involved in deployment within a unit,

   ❑ the training or other preparation for those who will deploy the practice or use the technology,

   ❑ the orientation of those who are affected by the practice or technology,

   ❑ how to mitigate risks involved in the deployment,

   ❑ steps in reviewing deployment status and effectiveness, and

   ❑ any changes required for deploying the practice or technology.

> Examples of actions that should be taken in implementing an innovative or improved workforce practice or technology might include changes to the following:
>
> - Organizational policies or procedures
> - The measurement or verification of workforce practices and activities
> - Descriptions of workforce competencies
> - Competency development methods
> - Competency or capability management activities

3. Before implementing a workforce practice or activity, those responsible for deploying it should review it with:

   ❑ those affected by the practice or activity to identify unanticipated problems or effects,

❏ those who have expertise in the area of the practice to determine if the improvement is likely to prove beneficial,

❏ a human resources professional, if they believe the improvement may conflict with organizational policies or procedures, or

❏ a human resources or legal professional, if the practice or activity is governed by laws or regulations.

> Examples of those with whom innovative or improved workforce practices or technologies can be discussed include the following:
>
> • Those responsible for coordinating specific workforce practices and activities across the organization
>
> • Human resources or other appropriate professionals
>
> • Trainers in the relevant area
>
> • Experts in performing the activity

4. The strategy for collecting data to measure and track the impact of an innovative or improved workforce practice or technology is documented, reviewed by all affected parties, and agreed to.

5. Training and other methods for preparing responsible individuals to perform innovative or improved workforce practices or to use new technologies are developed.

Practice 11   **Innovative or improved workforce practices and technologies are implemented according to their deployment plans.**

1. Innovative or improved workforce practices and technologies are implemented across all segments of the organization within the deployment scope.

2. Consulting and other facilitative support is provided to those implementing innovative or improved workforce practices and technologies.

3. Progress in deploying innovative or improved practices or technologies is tracked against the plan.

4. When progress in deploying innovative or improved practices or technologies deviates significantly from plan, corrective actions are taken, which may include:

❏ re-planning the deployment,

❏ resolving shortfalls in resources, training, or other preparations for deployment,

❏ correcting inefficiencies in the method of deployment, or

❏ adjusting innovative or improved workforce practices and technologies to improve their integration into unit activities.

5. Problems in deploying innovative or improved workforce practices and technologies are identified and adjustments are defined for use in future deployments.

Practice 12   **The effectiveness and benefits of innovative or improved workforce practices and technologies are evaluated quantitatively.**

1. A strategy for evaluating the effectiveness and benefits of innovative or improved workforce practices and technologies is developed.

2. Appropriate methods for evaluating the effectiveness and benefits of innovative or improved workforce practices and technologies are identified, and analyses are planned..

3. Data concerning the effectiveness and benefits of innovative or improved workforce practices and technologies are collected, analyzed, and reported.

4. Results of these analyses are used to improve the selection and implementation of innovative or improved workforce practices and technologies.

> Refer to the Organizational Capability Management process area for practices regarding the evaluation of the effectiveness and benefits of workforce practices and technologies.

Practice 13   **The status and results of the organization's Continuous Workforce Innovation activities are periodically reviewed and communicated across the organization.**

1. Responsible individuals periodically review the progress in implementing improved or innovative workforce practices and technologies.

> Examples of issues to be covered in status reviews include the following:
>
> - Level of suggestions or improvement proposals being made and accepted for broader implementation
> - Progress in achieving quantitative objectives for improvement in different areas of workforce practices
> - Alternatives considered and those selected for implementation
> - Progress or results of trial implementations
> - Progress against deployment plans
> - Effectiveness and benefits of improved practices and technologies

2. The workforce is kept informed of the organization's activities for continuously innovating or improving its workforce practices and activities.

> Refer to Practice 2 of the Communication and Coordination process area for examples of organizational communications mechanisms. Examples of information that are to be communicated include the following:
>
> - The organization's plans and schedules for deploying improved workforce practices and technologies
> - Status and disposition of deployment efforts
> - Status of the improvement proposals and associated workforce practice improvements
> - Significant accomplishments, innovations, and actions taken for workforce practice improvement
> - Measured results of deploying the workforce practice improvements
> - Recognition of the contributions of the people and teams who are involved in improvement or deployment activities
> - Summary information describing the organization's improvement and deployment activities and their results

Measurement and Analysis

Measurement 1 **Measurements are made and used to determine the status and performance of activities for continuously innovating and improving workforce practices and activities.**

> Examples of measurements include the following:
>
> - The number of improvement proposals submitted in total and for each area of workforce practices
> - The response time for handling improvement proposals
> - The percentage of workforce improvement proposals accepted
> - The number of innovative workforce practices and technologies evaluated in total and for each area of workforce practices
> - The number of innovations or improvements in workforce practices and technologies evaluated in trial implementations
> - The number of improved or innovative workforce practices and technologies implemented across the organization

Measurement 2 **Measurements are made and used to determine the effectiveness of continuously innovating and improving workforce practices and technologies.**

> Examples of measurements to evaluate the effectiveness of innovative or improved workforce practices and technologies include the following:
>
> - Their impact on individual, team, unit, or organizational performance
> - The impact of each workforce innovation or improvement on the efficiency of workforce activities
> - The impact of each workforce innovation or improvement on increasing the organization's capability in one or more of its workforce competencies
> - The impact of each innovation or improvement on aligning performance
> - The effect of implementing each workforce innovation or improvement compared to its defined goals
> - The effect of workforce innovations or improvements on team, unit, or organizational performance

Verifying Implementation

Verification 1 **A responsible individual(s) verifies that the activities for continuously innovating and improving workforce practices are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.**

These reviews verify that:

1. The activities for Continuous Workforce Innovation comply with the organization's policies and stated values.

2. The activities for Continuous Workforce Innovation comply with relevant laws and regulations.

3. All innovative or improved workforce practices and their implementations are reviewed to ensure they comply with relevant laws and regulations.

4. Continuous Workforce Innovation activities are performed according to the organization's documented practices and procedures.

5.   Noncompliance issues are handled appropriately.

Verification 2   **Executive management periodically reviews the Continuous Workforce Innovation activities, status, and results; and resolves issues.**

These reviews verify:

1.   The appropriateness of the continuous evaluation, innovation, or improvement activities.

2.   Progress in evaluating or implementing continuous improvements.

3. Results from reviews of Continuous Workforce Innovation practices and activities.

> Refer to Verification 1 for information regarding reviews of Continuous Workforce Innovation activities to ensure adherence to the following:
>
> - Relevant laws and regulations
> - Organizational policies, practices, and procedures

4. Status of resolution of noncompliance issues.

5. Trends related to Continuous Workforce Innovation.

6. Effectiveness of Continuous Workforce Innovation activities in continuously innovating and improving workforce practices and technologies.